



INVESTOR COMPLAINT QUESTIONNAIRE

Return to:
DEPARTMENT OF COMMERCE AND INSURANCE
SECURITIES DIVISION
SUITE 680, 500 JAMES ROBERTSON PARKWAY
NASHVILLE, TENNESSEE 37243-0575

Your Name_____

Address_____

City_____ State_____ Zip_____

Home Telephone _____ e-mail _____

Work Telephone _____ Fax _____

Whom is your complaint against?

Name of Person _____ Title _____

Name of Company _____

Address _____

City _____ State _____ Zip _____

Telephone _____ Website _____

Investment Product _____

Amount Invested _____ Date Invested _____

Did you receive a prospectus or sales literature before you invested?

Yes _____ No _____

Did you sign a contract to make the investment?

Yes _____ No _____

Please describe how you first learned about this investment opportunity.

What specific information were you given that caused you to invest?

Did the person who sold you this investment ask you any questions about your financial condition, investment objectives, investment experience, or risk tolerance before he recommended the investment?

Yes_____ No_____

Did you have a prior business or social relationship with the person before you were asked to make the investment?

Yes_____ No_____ Relationship_____

How was the money you invested to be used?

What representations were made about the risk involved in the investment?

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Yes_____ No_____

Date _____

Tennessee Securities Division

So, what happens next?

1. Complete the enclosed complaint form and return it to the Securities Division.
2. Attach any account statements, confirmation, or sales literature to your complaint before you mail it.
3. You will be mailed a letter acknowledging the receipt of your complaint and given the name of the investigator handling your complaint.
4. Your complaint will be reviewed by an investigator to determine whether the complaint provides probable cause to believe that there has been a violation of the Tennessee Securities Act of 1980 or the Tennessee Securities Rules.
5. If your complaint requires further information or further action, you will be contacted by the investigator.
6. You will be notified when your complaint is closed and given the reason for the closure.

Important Reminders:

You have civil remedies under the Tennessee Securities Act of 1980; however, these remedies are governed by statutes of limitations that may prevent you from recovering your losses if you do not act in a timely manner. You will need to consult an attorney for further advice.

Any action the Securities Division takes on your complaint will be to enforce the Securities Act and Rules, not to recover investor funds.